

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:
Arun K ROY *et al.*

Serial No.: 10/009,420

Filed: February 3, 2003

For: ESTROGEN RECEPTOR SITE-SPECIFIC
RIBOZYMES AND USES THEREOF FOR
ESTROGEN DEPENDENT TUMORS

Group Art Unit: 1635

Examiner: JANE J. ZARA

Atty. Dkt. No.: UTSK:379US

Confirmation No.: 2376

CERTIFICATE OF ELECTRONIC SUBMISSION

DATE OF SUBMISSION: November 10, 2006

REQUEST FOR CORRECTED FILING RECEIPT

Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

Sir:

A corrected filing receipt is requested in view of the error that appears in the original. For the convenience of the Patent and Trademark Office, attached is a photocopy of the original receipt on which the error has been noted.

There is an error in Applicants(s). Please replace "Chung S. Chen" with –**Chung S. Song**--. In support of this requested correction, Applicants attach a copy of the inventor's Declaration filed April 30, 2002.

No fee is believed to be due in connection with the filing of this document. However, should any fee under 37 C.F.R. §§ 1.16 to 1.21 be deemed necessary for any reason relating to

this document, the Commissioner is authorized to deduct the appropriate fee from Fulbright & Jaworski Deposit Account No.: 50-1212/UTSK:379US.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Monica De La Paz", with a stylized flourish at the end.

Monica A. De La Paz
Reg. No. 54,662
Attorney for Applicants

FULBRIGHT & JAWORSKI L.L.P.
600 Congress Avenue, Suite 2400
Austin, Texas 78701
(512) 474-5201

Date: November 10, 2006



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/009,420	02/03/2003	1742	271	4003.002300	12	28	1

CONFIRMATION NO. 2376

Shelley P M Fussey
Williams Morgan & Amerson
7676 Hillmont
Suite 250
Houston, TX 77040

FILING RECEIPT



OC000000010890292

Date Mailed: 09/22/2003

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Arun K. Roy, San Antonio, TX;
Yan Lavrovsky, Geneva, SWITZERLAND;
Rakesh K. Tyagi, New Delhj, INDIA;
~~Chung S. Chen~~, San Antonio, TX; **Chung S. Song**
Bandana Chatterjee, San Antonio, TX;
Shuo Chen, San Antonio, TX;

Domestic Priority data as claimed by applicant

This application is a 371 of PCT/US00/15243 06/02/2000
which claims benefit of 60/137,470 06/04/1999

Foreign Applications

Projected Publication Date: None, application is not eligible for pre-grant publication

Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **

Title

Estrogen receptor site-specific ribozymes and uses thereof for estrogen dependent tumors

Preliminary Class

435

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

DECLARATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or the below named inventors are the original, first and joint inventors (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **Estrogen Receptor Site-Specific Ribozymes and Uses Thereof for Estrogen Dependent Tumors**, the Specification of which:

- ☐ is attached hereto.
☒ was filed on **December 4, 2001** as Application Serial No. **10/00420**.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims.

I acknowledge the duty to disclose to the Patent and Trademark Office all information known to me to be material to patentability of the subject matter claimed in this application, as "materiality" is defined in Title 37, Code of Federal Regulations, § 1.56.

I hereby claim priority benefits under Title 35, United States Code, § 119 and/or § 365 of any foreign application(s) for patent or inventor's certificate, PCT international application(s), and United States provisional application(s), listed below and have also identified below any foreign application for patent or inventor's certificate, PCT international application, or United States provisional application, having a filing date before that of the application on which priority is claimed:

PRIORITY APPLICATION(S)			Priority Claimed
PCT/US00/15243	PCT	June 2, 2000	Yes
(Number)	(Country)	(Date Filed)	Yes/No
60/137,470	USA	June 4, 1999	Yes
(Number)	(Country)	(Date Filed)	Yes/No

I hereby claim the benefit under Title 35, United States Code, § 120 and/or § 36 of any United States application(s) and PCT international application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose all information known to me to be material to patentability of the subject matter claimed in this application, as "materiality" is defined in Title 37, Code of Federal Regulations, § 1.56, which becomes available between the filing date of the prior application and the national or PCT international filing date of this application:

N/A

(Application Serial No.)	(Filing Date)	(Status)
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(Application Serial No.)	(Filing Date)	(Status)
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I hereby direct that all correspondence and telephone calls be addressed to Shelley P.M. Fussey, Williams, Morgan & Amerson, P.C., 7676 Hillmont, Suite 250, Houston, Texas 77040, (713) 934-7000.

I hereby declare that all statements made of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Inventor's Full Name:	Arun	K.	Roy
Inventor's Signature:			
Country of Citizenship:	U.S.A.	Date:	
Residence Address: (street, number, city, state, and/or country)	8415 Fredericksburg Roan, Unit #1006 San Antonio, Texas 78229		
Post Office Address: (if different from above)			

Inventor's Full Name:	Yan		Lavrovsky
Inventor's Signature:	<i>[Signature]</i>		
Country of Citizenship:	Russia USA YL	Date: January 14, 2002	
Residence Address: (street, number, city, state, and/or country)	159 St-Julien Street 1218 Plan-les-Ouates Geneva, Switzerland		
Post Office Address: (if different from above)	office phone: +41 22 706 9714 e-mail: Yan.Lavrovsky@serono.com		

Inventor's Full Name:	Rakesh	K.	Tyagi
Inventor's Signature:			
Country of Citizenship:	India	Date:	
Residence Address: (street, number, city, state, and/or country)			
Post Office Address: (if different from above)			

Inventor's Full Name:	Chung	S.	Song
Inventor's Signature:			
Country of Citizenship:	USA	Date:	
Residence Address: (street, number, city, state, and/or country)	15023 Northern Dancer San Antonio, Texas 78248		
Post Office Address: (if different from above)			

Inventor's Full Name:	Bandana		Chatterjee
Inventor's Signature:			
Country of Citizenship:	USA	Date:	
Residence Address: (street, number, city, state, and/or country)	8415 Fredericksburg Road, #201 San Antonio, Texas 78229		
Post Office Address: (if different from above)			

Inventor's Full Name:	Shuo		Chen
Inventor's Signature:			
Country of Citizenship:	China	Date:	
Residence Address: (street, number, city, state, and/or country)	7458 Louis Pasteur, #504 San Antonio, Texas		
Post Office Address: (if different from above)			

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I believe I am the original, first and sole inventor (if only one name is listed below) or the below named inventors are the original, first and joint inventors (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **Estrogen Receptor Site-Specific Ribozymes and Uses Thereof for Estrogen Dependent Tumors**, the Specification of which:

☐ is attached hereto.
☒ was filed on **December 4, 2001** as Application Serial No. **10/009,420**.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims.

I acknowledge the duty to disclose to the Patent and Trademark Office all information known to me to be material to patentability of the subject matter claimed in this application, as "materiality" is defined in Title 37, Code of Federal Regulations, § 1.56.

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(Application Serial No.)	(Filing Date)	(Status)
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Invent's Full Name:	Arun	K.	Roy
Invent's Signature:			
Country of Citizenship:	U.S.A.	Date:	
Residence Address: (street, number, city, state, and/or country)	8415 Fredericksburg Road, Unit #1006 San Antonio, Texas 78229		
Post Office Address: (if different from above)			

Invent's Full Name:	Yan		Lavrovsky
Invent's Signature:			
Country of Citizenship:	Russia	Date:	
Residence Address: (street, number, city, state, and/or country)			
Post Office Address: (if different from above)			

Invent's Full Name:	Rakesh	K.	Tyagi
Invent's Signature:	Rakesh Kumar Tyagi		
Country of Citizenship:	India	Date: 8th Feb. 2002	
Residence Address: (street, number, city, state, and/or country)	T-109, OLD TRANSIT HOUSE, DAKSHINAPURAM, JAWAHARLAL NEHRU UNIVERSITY NEW DELHI - 110067, INDIA		
Post Office Address: (if different from above)			

Inventor's Full Name:	Chung	S.	Song
Inventor's Signature:			
Country of Citizenship:	USA	Date:	
Residence Address: (street, number, city, state, and/or country)	15023 Northern Dancer San Antonio, Texas 78248		
Post Office Address: (if different from above)			

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Inventor's Signature:			
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Residence Address: (street, number, city, state, and/or country)	8415 Fredericksburg Road, #201 San Antonio, Texas 78229		
Post Office Address: (if different from above)			

Inventor's Full Name:	Shuo		Chen
Inventor's Signature:			
Country of Citizenship:	China	Date:	
Residence Address: (street, number, city, state, and/or country)	7458 Louis Pasteur, #504 San Antonio, Texas		
Post Office Address: (if different from above)			

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Inventor's Signature:			
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Residence Address: (street, number, city, state, and/or country)			
Post Office Address: (if different from above)			

Inventor's Full Name:	Rakesh	K.	Tyagi
Inventor's Signature:			
Country of Citizenship:	India	Date:	
Residence Address: (street, number, city, state, and/or country)			
Post Office Address: (if different from above)			

Inventor's Full Name:	Chung	S.	Song
Inventor's Signature:	<i>Chung Song</i>		
Country of Citizenship:	USA	Date:	3/28/02
Residence Address: (street, number, city, state, and/or country)	15023 Northern Dancer San Antonio, Texas 78248		
Post Office Address: (if different from above)			

Inventor's Full Name:	Bandana		Chatterjee
Inventor's Signature:	<i>Bandana Chatterjee</i> 3/28/02		
Country of Citizenship:	USA	Date:	3/28/02
Residence Address: (street, number, city, state, and/or country)	8415 Fredericksburg Road, #201 San Antonio, Texas 78229		
Post Office Address: (if different from above)			

Inventor's Full Name:	Shuo		Chen
Inventor's Signature:	<i>Shuo Chen</i>		
Country of Citizenship:	China	Date:	3-28-02
Residence Address: (street, number, city, state, and/or country)	7458 Louis Pasteur, #504 San Antonio, Texas		
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